D. OVERVIEW – COLLECTION (COL)

The IGD has been updated. A complete Summary of Changes can be found in the IGD section entitled "Document Revisions". For ease of recognition, substantive changes appear in bold italic.

The Transaction Functional Matrix (TFM) is a comprehensive guidance document developed to support States' efforts to standardize the use of transactions. A TFM Workgroup, consisting of representatives from States, OCSE, and the CSENet 2000 team reviewed and discussed issues related to developing standardized business usage for transactions. The workgroup determined the original elements contained in the TFM and identified transactions recommended for deletion. Information provided for these transactions is listed at the end of this section and is limited to Function, Action, and Reason codes. Recommended alternative transaction usage is provided to assist States.

As a part of OCSE's Continuous Service Improvement (CSI) effort, the Interstate Communications Initiative team undertook a project to improve the business use of CSENet transactions. The activities to improve the business use of CSENet included the following:

- ***Establish a core set of transactions,***
- ***Link CSENet transactions to interstate business,***
  - ***Code of Federal Regulations (CFR) notification requirements,***
  - ***Synchronize CSENet transactions with the Intergovernmental Form updates,***
    - ***Add new paternity status values,***
    - ***Clarify how transactions should be used, and***
- ***Identify the need for new transactions.***

The core set of transactions, as stated in DCL 07-20, was designed in partnership with States by identifying those interstate activities/requests that are essential to processing interstate cases. The core set will help States focus their efforts when using CSENet to conduct interstate business.

Over the years, experience has demonstrated that many of the available CSENet transactions are rarely used, because of changing statutes, e.g., UIFSA, the way business is conducted for processing interstate cases, etc. Although well intended, the number of transactions available made CSENet appear unnecessarily complicated and cumbersome.

Establishing this core set of transactions is a step towards streamlining the number of transactions and provides the following benefits for States:

- ***Improves interstate case processing through a precise and well-defined transaction set,***
- ***Increases CSENet's ability to effectively and efficiently perform electronic interstate communications, and***

- ***Increases standardization by establishing a common or less "cluttered" playing field.***

To help States focus programming efforts on fewer transactions to better convey interstate business activities, OCSE recommends that States use these transactions when enhancing existing programming, as well as during the development of new CSENet functionality.

This section of the TFM has been finalized as a part of OCSE's CSI effort and incorporates enhanced guidance that includes:

- ***Linked transactions to specific interstate business,***
- ***Recommended automation possibilities,***
- ***Identified transactions that support new interstate actions, activities on established interstate cases, and limited or administrative service requests, and***
- ***Suggested potential triggers to generate transactions.***

A full listing of all transactions within the core set is found in Appendix B, "Valid Transactions Table", Chart B-5. Transactions that are not included in the core set are identified at the end of each TFM section and include those the TFM Workgroup recommended for deletion. In the future, the number of CSENet transactions may be reduced.

D.1 Document Layout

Along with providing guidance on when and how transactions are used, guidance on the data to include in a transaction is provided. First, all of the data blocks and elements within a block required by the CSENet application are listed. Next, data that may not be required but is essential to conduct the specific business is identified by shading. Finally, recommendations to include additional data are provided under the Recommended Use of Data in the Description/Business Usage section. The matrix consists of six main parts:

- ***Function code,***
- ***Action code,***
- ***Reason code,***
- ***Description/business usage,***
- ***Required data blocks and elements, and***
- ***Data element description and usage.***

D.1.1 FUNCTION CODE

The Function code (also known by its field name, Functional-Type-Code) refers to the child support business activity the transaction supports. Examples of Function codes are Quick Locate (LO1) and Enforcement (ENF).

D.1.2 ACTION CODE

The Action code describes the kind of transaction. Examples include a Request and Response (also known as provision of information).

D.1.3 REASON CODE

The Reason code (also known by its field name, Action-Reason-Code) provides further definition of the business activity the transaction communicates. For example, an Enforcement Acknowledgment (ENF A) may use the Reason code of AADIN to inform the other State that additional information is necessary to proceed with their request. (Note: Not all transactions require a Reason code, such as a Quick Locate Request, LO1 R).

D.1.4 DESCRIPTION/BUSINESS USAGE

Defines a specific transaction by the combination of Function, Action, and Reason codes and provides the business activity and usage for the transaction. Chart D-1 identifies the subsections that may comprise the Description/Business Usage section, depending upon the nature of the transaction.

CHART D-1: CONTENTS OF THE DESCRIPTION/BUSINESS USAGE SECTION

Subheading	Description
Sent by Initiating or Responding State	***Recommends whether the initiating or responding State, or both, generates the transaction. The following standard definitions are used:*** • ***The initiating State is the State in which the custodial party (CP) resides; and*** • ***The responding State is the State in which the noncustodial parent (NCP) resides.***
Used On/To	***Indicates whether the transaction is used for:*** • ***Initiating a new interstate case,*** • ***Working with an established case, or*** • ***Limited or administrative service requests.***
Corresponds To	***Cites the specific item in the Intergovernmental Forms of the business that the transaction conveys.***
Relevant CFR Requirements	***Cites the relevant sections of the CFR that the transaction addresses.***
Automated Triggers	***Suggests ways to automate sending transactions in a child support enforcement (CSE) system.***
Recommended Action by Receiving State	***Describes the type of follow-up activity a State may initiate upon receiving the transaction.***

CHART D-1: CONTENTS OF THE DESCRIPTION/BUSINESS USAGE SECTION	
Subheading	**Description**
Recommended Use of Data	***Describes specific recommendations and/or clarifications of data usage.***
References to Data Blocks	***Provides requirements or recommendations for specific information in data blocks included in the transaction.***

D.1.5 REQUIRED DATA BLOCKS AND ELEMENTS

Lists data blocks and elements that are currently required for transmitting transactions. Shaded areas identify data recommended as essential to conduct business and automate transaction processing. These recommendations do not replace the requirements presented in Appendix C, "Data Block Record Layout".

D.1.6 DATA ELEMENT DESCRIPTION AND USAGE

Includes values and/or a description of the specific data element.

D.2 Summary of Assumptions

To ensure standardization, the TFM Work Group recommended specific business usage and general practices that should be used when interpreting and applying TFM recommendations. The following are the assumptions for transaction usage made by the TFM Work Group:

1. ***Enforcement transactions are used to establish a interstate process when enforcing an existing order.***

2. ***When sending Request transactions (except LO1 and CSI) States should provide all available data to assist the receiving State.***

3. ***Given that some IV-D offices carry generic caseloads, the Contact Name and related fields in the Case data block may contain an entity rather than a person's name.***

4. ***States will use the full range of transactions identified in the core set for the business usage as indicated for each. This assists all States' ability to standardize and increase automated processing.***

D.3 Automating CSENet Transactions

A key to the successful use of CSENet is the level of automation developed by each State. Whenever possible, States should have the CSE system automate sending a new interstate referral, requests for action on an existing case, or responses to requests. States should look for a data element or a combination of data elements that identifies interstate activities to serve as triggers for outgoing transactions to eliminate the need for worker intervention.

Equally critical is automating the entry of data into the transaction record. Manual entry of data in a transaction should be limited only to the data that is not available on the CSE system.

Conversely, when transactions are received, States should also have their system, whenever possible, automatically update the case record with the fact that a transaction was received and store the data received in the transaction. Also, prior to automatically creating an alert that notifies workers that a transaction was received, determine the ability for the system to take appropriate actions without worker intervention. This would include the building of new cases by the system so case activity can begin immediately. Although this level of automation is not always possible, automating to the maximum extent possible will significantly improve the handling of interstate requests.

A prime example of automation is the L01 – Quick Locate transaction. Most States have totally automated the process of receiving locate requests, obtaining locate information, and returning the employer or address information to the requesting State. This enhanced level of automation has helped with location efforts which, in turn have led to more timely establishment and enforcement activities.

Function Code	Action Code	Reason Code	Description/Business Usage	Required Data Blocks and Elements* (Data Block Record Layout)	Data Element Description
COL	**P**	**CITAX**	**Collection Provision of Information – Tax Offset Disbursed or Negative Adjustment Confirmed** **Sent by Initiating State:** ***This transaction is used to electronically notify the responding State that Federal or State tax monies have been received and disbursed. It may also be used to identify when a negative adjustment (from original offset) has occurred by entering a negative payment amount value. This transaction should be sent only after monies have been disbursed or a negative adjustment confirmed.*** **Used on:** ***Established interstate cases*** **Relevant CFR Requirements:** ***The 45CFR 303.72(d)(1) states that the State referring past-due support for offset must, in interstate situations, notify any other State involved in enforcing the support order when it receives the offset amount from the Secretary of the U.S. Treasury.*** **Automated Triggers:** ***Determine how the CSE system records when tax offset monies are received and disbursed on an interstate case. Likewise, determine how the CSE system records a negative adjustment and send this transaction with the negative adjustment amount in the Payment-Amount field.***	***HEADER***	
				LOCAL-FIPS-STATE/COUNTY	***Your State/County FIPS Code***
				OTHER-FIPS-STATE/COUNTY	***State/County FIPS Code where transaction is directed***
				CSENet 2000 VERSION NUMBER	***003***
				TRANSACTION SERIAL NUMBER	***Fill as appropriate***
				ACTION CODE	***P***
				FUNCTIONAL TYPE CODE	***COL***
				TXN DATE	***Date Transaction was created***
				CASE-ID	***Your Case ID***
				OTHER-CASE-ID	***Other Case ID***
				ACTION REASON	***CITAX***
				ATTACHMENTS-IND	***=N***
				CASE-DATA-IND	***=1 (Numeric)***
				NCP-IDENTIFICATION-IND	***=1 (Numeric)***
				NCP-LOCATE-DATA-IND	***Fill as appropriate***
				PARTICIPANT-DATA-IND	***=1 (Numeric)***
				ORDER-DATA-IND	***Fill as appropriate***
				COLLECTION-DATA-IND	***=1 (Numeric)***
				INFORMATION-IND	***=0 (Numeric)***
				OVERDUE-IND	***=0 (Numeric)***
				CASE DATA BLOCK	
				CASE TYPE	***Any Case Type except Non-IV-D***
				CASE-STATUS	***=O (Alpha)***
				CONTACT-NAME-LAST	***Your State Contact***
				CONTACT-NAME-FIRST	***Your State Contact***

*Shaded areas identify data recommended as essential to conduct business and automate transaction processing.

Function Code	Action Code	Reason Code	Description/Business Usage	Required Data Blocks and Elements* (Data Block Record Layout)	Data Element Description
COL	P	CITAX	**Action by Receiving State:** ***Process according to State policy and Federal guidelines. Update case information, such as noting receipt of the transaction, and determine action needed to update payment records.*** **Recommended Use of Data:** ***Provide contact's direct phone number in the Case Data Block.*** ***Provide the NCP's DOB in the NCP Identification Data block.*** ***For IRS collections use INTER-STATE PAYMENT METHOD = O, in the Collection Data Block, as moneys will not be forwarded to other jurisdiction.*** **NCP IDENTIFICATION DATA BLOCK** ***The NCP's SSN is required if the NCP mailing address, residential address, and employer Name fields in the NCP Locate Data Block are blank-filled.*** **PARTICIPANT DATA BLOCK** ***Provide as much participant information as available – at least the CP (Relationship code C) should be provided.***	***CONTACT-ADDRESS-LINE1***	***Contact Address***
				CONTACT-CITY	***Contact City***
				CONTACT-STATE	***Contact State***
				CONTACT-ZIP-1	***Contact Zip Code***
				NCP IDENTIFICATION DATA BLOCK	
				NAME-LAST	***NCP Last Name***
				NAME-FIRST	***NCP First Name***
				SSN	***NCP SSN***
				PARTICIPANT DATA BLOCK	
				NAME-LAST	***Participant Last Name***
				NAME-FIRST	***Participant First Name***
				RELATIONSHIP	***Fill as appropriate***
				PARTICIPANT-STATUS	***=O (Alpha)***
				COLLECTION DATA BLOCK	
				DATE-OF-COLLECTION	***Date payment was received***
				DATE-OF-POSTING	***Date payment was posted***
				PAYMENT-AMOUNT	***Fill as appropriate***
				PAYMENT-SOURCE	***Fill as appropriate***
				INTERSTATE-PAYMENT-METHOD	***Fill as appropriate***

*Shaded areas identify data recommended as essential to conduct business and automate transaction processing.